PATENT

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of:

Steven Kirk DONOHO, et al.

Serial No.

10/686,462

Group Art Unit: not yet assigned

Filed:

October 15, 2003

Examiner: not yet assigned

For:

METHOD AND SYSTEM FOR THE PROTECTION OF BROKER

AND INVESTOR RELATIONSHIPS, ACCOUNTS AND

TRANSACTIONS

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

In accordance with the provisions of 37 C.F.R. 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the document listed on the attached form PTO-1449. The document is submitted as a supplement to the Information Disclosure Statement filed on October 15, 2003. It is respectfully requested that the document be expressly considered during the prosecution of this application, and that the document be made of record therein.

AUTHORIZATION

According to 37 C.F.R. 1.97(b)(3), no fee is believed to be required for submission of this Second Supplemental Information Disclosure Statement. The Commissioner is hereby authorized to charge any additional fees which may be required for this submission, or credit any overpayment to deposit account no. 50-0436.

Respectfully submitted,

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Date: January 7, 2004

Complete if Known Substitute for form 1449/PTO Application Number 10/686,462 October 15, 2003 **Filing Date** INFORMATION DISCLOSURE STATEMENT BY APPLICANT First Named Inventor Steven Kirk DONOHO Group Art Unit not yet assigned (use as many sheets as necessary) Examiner Name not yet assigned Attorney Docket Number 124256.401 of 1 U.S. PATENT DOCUMENTS Pages, Columns, Lines, Where U.S. Patent Document Name of Patentee or Applicant of Date of Examiner's Cite Initials Cited Document Publication of Relevant Passages or Relevant No. Cited Document Figures Appear Kind Code Number MM-DD-YYYY (if known) FOREIGN PATENT DOCUMENTS Name of Patentee or Applicant of Date of Pages, Columns, Lines, T Examiner's Cite Foreign Patent Document Initials Cited Document Publication of Where Relevant Passages No. or Relevant Figures Appear Cited Document Office Number Kind Code MM-DD-YYYY (if known) OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.) Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, T Cite No. Examiner magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or county 's Initials where published. Affidavit of Steven Kirk Donoho, November 14, 2003.

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

Date Considered

Examiner Signature



CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.10

Steven Kirk Donoho, et al.

TITLE:

METHOD AND SYSTEM FOR THE PROTECTION OF

BROKER AND INVESTOR RELATIONSHIPS, ACCOUNTS

AND TRANSACTIONS

SERIAL NO.:

10/686,462

ATTORNEY REF:

124256.401

DATE OF DEPOSIT:

January 7, 2004

I HEREBY CERTIFY THAT THE SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE VIA UNITED STATES POST OFFICE FIRST CLASS MAIL UNDER 37 C.F.R. § 1.10 ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO COMMISSIONER FOR PATENTS, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450.

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